



110 #2 GP/2681
PATENT
Attorney Docket No. 13226US02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:

Gottfried Ungerboeck
Arthur J. Carlson

Serial No. 09/898,850

Filed: July 3, 2001

For: SYSTEM AND METHOD FOR
HUFFMAN SHAPING IN A DATA
COMMUNICATION SYSTEM

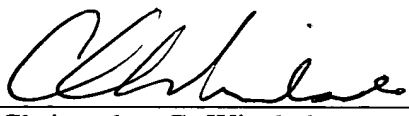
Examiner: Not yet assigned

Group Art Unit: 2681

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on February 4, 2002.

By:


Christopher C. Winslade
Reg. No. 36,308

**TRANSMITTAL OF SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT
AFTER APPLICATION FILING DATE**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

ENCLOSURES

Enclosed are the following:

- * A completed PTO form 1449 (modified) which has one (1) page.
- * A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. Five (5) references are enclosed.
- * A copy of Communication received from the International Searching Authority for the PCT/International application, No. PCT/US01/25098, corresponding to the parent of the above application.

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FEE DETERMINATION

* No fee is believed to be due because:

- * The applicant(s) believe(s) that this statement and enclosures are being filed before the first Office action on the merits has been mailed by the PTO. The basis of this belief is that no Office action on the merits appears to have been received by the undersigned to date.

In accordance with 37 CFR §1.97(e), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this statement.

FEE PAYMENT

The following arrangements have been made to pay the fees calculated above:

- * No fee is believed to be due.

The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

REQUEST FOR CONSIDERATION

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is requested to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicants to indicate consideration of the enclosed references.

Respectfully submitted,

Dated: February 4, 2002



Christopher C. Winslade
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Form PTO-1449 (Rev. 8-83) (modified) INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 13226US02	SERIAL NO. 09/898,850
	APPLICANT(s): Ungerboech			
	FILING DATE July 3, 2001		GROUP ART UNIT: 2681	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	5,268,961	12/07/93	Ng	380	19	
	A2	5,528,628	06/18/96	Park et al.	375	240	
	A3	5,559,561	09/24/96	Wei	348	470	
	A4	5,914,840	06/22/99	Kawakami et al.	360	130.23	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

C1	Kschischang, "Optimal Nonuniform Signaling for Gaussian Channels," <i>IEEE Transactions on Information Theory</i> , 39(3):913-929 (May 1993)

EXAMINER

DATE CONSIDERED:

*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.